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Patents, Trademarks, Copyrights,  
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October 31, 2003



## UTILITY PATENT APPLICATION TRANSMITTAL (new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket Number: MEMC 3005.3

First Named Inventor: Z. Lu

Title: PROCESS FOR PREPARING SINGLE CRYSTAL SILICON USING  
CRUCIBLE ROTATION TO CONTROL TEMPERATURE GRADIENT

Express Mail Label Number: EL 998650373 US

TO: Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

### APPLICATION ELEMENTS

1. ☒ Fee Transmittal Form  
(original and duplicate)
2. ☐ Applicant claims small entity status
3. ☒ Specification [Total Pages 39]
4. ☒ Drawings [Total Sheets 12]
5. Oath or Declaration [Total Pages    ]
  - a. ☐ Newly executed (original or copy)  
☐ New (unexecuted)
  - b. ☐ Copy from a prior application  
(for continuation/divisional with  
Box 19 completed)
    - i. ☐ DELETION OF INVENTOR(s)  
Signed statement attached  
deleting inventor(s) named  
in prior application.

6. ☐ Incorporation By Reference  
(useable if Box 5b is marked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
7. ☒ Application Data Sheet
8. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
9. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

10. ☐ Assignment Papers (cover sheet & document(s))
11. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
12. ☐ English Translation Document (if applicable)
13. ☐ IDS with PTO/SB/O8A ☐ Copies of IDS Citations
14. ☐ Preliminary Amendment
15. ☒ Return Receipt Postcard
16. ☐ Request and Certification for Non-Publication. Form PTO/SB/35 is attached.
17. ☐ Certified Copy of Priority Document(s) if foreign priority is claimed
18. ☐ Other: \_\_\_\_\_

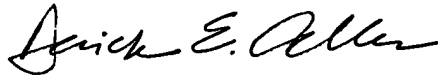
**IF A CONTINUING APPLICATION, CHECK APPROPRIATE BOXES AND SUPPLY THE REQUISITE INFORMATION**

19. ☐ Continuation ☐ Divisional ☐ Continuation-in-Part of prior application No.:
- ☒ Complete Application based on provisional Application No. 60/425,546 filed November 12, 2002.

CORRESPONDENCE ADDRESS

20. Correspondence Address: Customer Number 321  
Attention: Derick E. Allen

Respectfully submitted,

A handwritten signature in cursive script that reads "Derick E. Allen".

Derick E. Allen, Reg. No. 43,468

DEA/skd

103103

14230 U.S. PTO

**FEE TRANSMITTAL**

Application Number To Be Assigned  
Filing Date To Be Assigned  
Confirmation No. To Be Assigned  
Inventor(s) Z. Lu  
Group Art Unit To Be Assigned  
Examiner Name To Be Assigned  
Attorney Docket Number MEMC 3005.3

**METHOD OF PAYMENT**

1. ☐ The Commissioner is hereby authorized to charge the indicated fees to Deposit Account No. 19-1345.
- ☐ The Commissioner is hereby authorized to charge any additional fees required under 37 CFR 1.16 and 1.17 to Deposit Account No. 19-1345.
- ☐ Applicant claims small entity status.
2. ☒ Check Enclosed. The Commissioner is hereby authorized to charge any under payment or credit any over payment to Deposit Account No. 19-1345.

**FEE CALCULATION**

1. ☒ BASIC FILING FEE Subtotal (1) \$ 770.00  
(Type: utility)
2. ☒ EXTRA CLAIM FEES Subtotal (2) \$ 990.00  
Total Claims 75  
Independent Claims 3  
Multiple Dependent Claims 0
3. ☐ ADDITIONAL FEES Subtotal (3) \$ 990.00
- ☐ Surcharge - late filing fee or oath  
☐ Surcharge - late provisional filing fee or cover sheet  
☐ Extension for reply within \_\_\_\_\_ month  
☐ Notice of Appeal  
☐ Filing a Brief in Support of an appeal  
☐ Request for ex parte Reexamination  
☐ Petitions to the Commissioner  
☐ Submission of Information Disclosure Statement  
☐ Recording each patent assignment per property  
☐ Request for Continued Examination  
☐ Other: \_\_\_\_\_

**TOTAL AMOUNT OF PAYMENT** \$ 1,760.00

Derick E. Allen 10-31-03  
Derick E. Allen, Reg. No. 43,468 Date

DEA/skd

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